



DEPARTMENT OF THE ARMY
UNITED STATES ARMY
NORTH ATLANTIC TREATY ORGANIZATION
APO AE 09705

REPLY TO
ATTENTION OF

ACCT-CG

2 November 2001

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: United States Army, North Atlantic Treaty Organization (USANATO), Affirmative Action Plan (AAP)

1. References:

- a. AR 600-20, 15 July 1999, Army Command Policy.
- b. USANATO, Regulation 600-21, Equal Opportunity and Human Relations Program.

2. This memorandum expires 1 year from date of publication.

3. A positive command climate directly affects a unit's human relations status. Discrimination or the perception of discrimination can seriously harm unit readiness, hurt morale, and interfere with job performance.

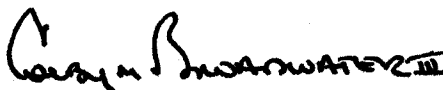
4. Soldiers, civilian employees, and family members perform best as a unit when they are treated with fairness, dignity, and respect. Unit cohesion is the key to creating an environment in which merit is the only differentiation.

5. The enclosed USANATO, AAP will help commanders identify real and perceived discrimination. Leaders must enforce DA and USANATO, Equal Opportunity (EO) policy and procedures. Nothing less than 100 percent compliance will be tolerated.

6. Leaders will immediately and thoroughly investigate formal and informal EO complaints while protecting the rights of all involved. If unfair practices are identified, appropriate corrective actions will be taken.

7. The USANATO, AAP will help commanders establish a positive command climate and ensure that everyone is treated with fairness, dignity, and respect.

Encl
as


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USANATO, AFFIRMATIVE ACTION PLAN

SECTION I RESPONSIBILITIES AND PROCEDURES

1. REFERENCES

- a. USANATO, Regulation 600-21.
- b. AR 350-1, Army Training.
- c. AR 600-20, Army Command Policy.
- d. DA Pamphlet 600-26, The Department of the Army Affirmative Action Plan.
- e. DA Pamphlet 600-69, Unit Climate Profile, Commanders Handbook.
- f. Training Circular (TC) 26-6, Commander's Equal Opportunity Handbook.
- g. Message, HQDA, DAMO-ZA, 101414 February 1998, subject: Unit Implementation of Human Relations Action Plan.
- h. Department of the Army, Office of the Deputy Chief of Staff for Personnel, Directorate of Human Resources, Leadership Division website at <http://www.odcsper.army.mil/>.
- i. USANATO, EO Office website at <http://w3ace.shape.army.mil/ea/>.

2. ABBREVIATIONS AND TERMS

a. Abbreviations.

1SG	first sergeant
7ATC	Seventh Army Training Command
AAP	affirmative action plan
AFNORTH	Allied Forces Northern Europe
AFSOUTH	Allied Forces Southern Europe
ANSR	Annual Narrative and Statistical Report
AR	Army regulation
CSM	command sergeant major
DA	Department of the Army
DSN	Defense Switched Network
EO	equal opportunity
EOA	equal opportunity advisor
EOL	equal opportunity leader
HQDA	Headquarters, Department of the Army
NCO	noncommissioned officer
POC	point of contact
POSH	Prevention of Sexual Harassment
QNSR	quarterly narrative statistical report
QTB	quarterly training briefing

REDCAT	racial and ethnic designation categories
SSG	staff sergeant
SHAPE	Supreme Headquarters Allied Powers Europe
TC	training circular
USANATO	U.S. Army Elements, Allied Command Europe

b. Terms.

affirmative action

Positive action by DA activities to ensure soldiers, civilian employees, and family members are treated with fairness, dignity, and respect. Affirmative action includes identifying opportunities for women and minorities and encouraging interest in these opportunities to compensate for disadvantages and inequities that may have resulted from past discrimination.

affirmative action plan

A management document designed to identify and correct inequities in an organization caused by discrimination based on or related to skin color, gender, national origin, race, or religion. Affirmative action plans assess inequities and recommend policies and programs that will correct them and ensure fairness and equal opportunity in personal and professional matters.

equal opportunity

Consideration and treatment based only on ability, fitness, and merit.

equal opportunity advisor

An officer, noncommissioned officer, or civilian employee trained by the Defense Equal Opportunity Management Institute and serving in a full-time equal opportunity position at a brigade- or higher-level unit.

equal opportunity leader

A school-trained soldier in the rank of staff sergeant or higher who has the part-time, additional duty of advising battalion, detachment, and company commanders on equal opportunity issues.

human relations training

Training on a variety of topics to provide the skills necessary to develop and maintain high-performing, cohesive teams, units, and communities. Human relation is a leadership and force-readiness issue. The readiness of our units and quality of our communities depends on a positive human relations climate—one that allows soldiers, civilians, and family members to be a part of our winning team. The Army defines human relations training as training in the areas of suicide prevention, alcohol and drug abuse, standards of conduct, homosexual policy, fraternization,

rape prevention, sexual misconduct, prevention of sexual harassment, equal opportunity, extremism, and religious accommodation.

key-leadership or career-enhancing positions

Positions that are necessary for career development. For officers they will include at least company, battalion, and brigade-level commander positions, and executive officer and S-3 positions at battalion and above. For noncommissioned officers they include at least nominative command sergeant major positions as well as company and detachment first sergeant positions.

major reporting commands

USANATO, SHAPE; USANATO, AFNORTH;
USANATO, AFSOUTH.

minority

People of color or any other group (based on ethnicity, national origin, or religion) that makes up less than a majority of the population of a particular organization.

3. GENERAL

Everyone must be treated with fairness, dignity, and respect. Human relation is a force-readiness issue. The readiness of our units and the quality of our communities depend on a positive human relations climate—one that allows soldiers, civilians, and family members to be part of our winning team. The USANATO, Affirmative Action Plan (AAP) will help commanders--

- a. Identify and assess inequities.
- b. Monitor the command climate.
- c. Revise or develop policies and programs to correct institutional discrimination.
- d. Base actions on ability, fitness, and merit.
- e. Foster a command climate that is free of racial and sexual conflict.
- f. Establish specific affirmative actions and personnel management policy.

4. RESPONSIBILITIES

- a. Commanders will--
 - (1) Be the command equal opportunity (EO) officer.

- (2) Develop an AAP (down to major reporting command-level) and monitor program execution in the command. AAPs will include milestones that state the command's goals. Goals will be designed to redress inequities for women and minorities.

- (3) Establish EO training requirements consistent with regulatory guidance and command needs. Incorporate other staff experts (chaplain or safety) when conducting corresponding human relations training.

- (4) Post written command EO policy.

- (5) Ensure that unit equal opportunity leaders (EOLs) meet training requirements in c below.

- (6) Take action to eliminate discrimination and barriers to equal opportunity.

b. Equal opportunity advisors (EOAs) will--

- (1) Be the commander's primary advisor on equal opportunity.

- (2) Coordinate and monitor the command EO program.

- (3) Assist the commander by conducting regular assessments of the EO climate.

- (4) Assist the commander by recommending actions to redress identified inequities.

- (5) Refer formal EO complaints to the commander if investigation is required.

c. EOLs will--

- (1) Be in the rank of sergeant promotable (SGT(P)) or above and appointed on orders.

- (2) Attend the Seventh Army Training Command (7ATC) EOL course or an 80-hour United States Army Training and Doctrine Command (TRADOC) certified EOL course.

- (3) Perform EOL duties as an additional duty.

- (4) Assist commanders in maintaining a positive human relations environment by identifying factors that detract from positive relations.

- (5) Refer formal equal opportunity complaints to commanders and EOAs.

5. POLICY

a. USANATO, personnel will provide a positive human relations environment based on ability, fitness, and merit. Commanders will ensure that individuals receive equal and impartial treatment when they are considered for assignments, awards, discipline, promotions, retention, and separation.

b. Major reporting Commanders will develop a command AAP to--

(1) Assess the command climate and develop policies and procedures to establish and maintain a positive human relations environment. An effective AAP requires participation at all levels.

(2) Develop leaders who are sensitive to human relations issues and concerns. Leaders must be aware of the elements of discrimination and the past under-representation of women and minorities in key leadership or career-enhancing positions.

(3) Consciously monitor the representation of women and minorities in key-leadership or career-enhancing positions. Qualified personnel must have an equal opportunity to serve in these positions.

(4) Strengthen elements that enhance combat readiness in the chain of command and unit cohesion.

6. REPORTS

Commanders of major reporting commands (para 2b) will submit reports to the Commander, USANATO, ATTN: ACEO, Unit 21420, BOX 5100, APO AE 09705, as directed below.

a. By the 10th day of each month, commanders will provide the USANATO, EO Office the Monthly EO Report via e-mail.

(1) The Monthly EO Report is used as a supplement to the QNSR. The USANATO, EO Office updates the HQDA EO database with the required information provided by the major reporting commands.

(2) The Monthly EO Report will include:

(a) The number of staff-assistance visits, ethnic observances, and unit assessments conducted.

(b) The unit, date, type, and length of human relations training conducted and the number of leaders and soldiers present. Assessment comments are mandatory for training that has been conducted.

(c) Upcoming EO training that is scheduled for the unit by UIC.

(d) The number of formal EO complaints received by type and the number substantiated, unsubstantiated, and pending.

b. By the 15th day of the month after each quarter, major reporting commands will submit the following reports:

(1) The USANATO, Quarterly Narrative Statistical Report (QNSR) in the automated data collection format. The format can be found on the USANATO, EO Office website at <http://w3ace.shape.army.mil/ea/html>. The report will include--

(a) The unit command profile and unit population by racial and ethnic designation categories (REDCAT).

(b) The unit command positions by REDCAT.

(c) The unit awards submitted, approved, and disapproved by REDCAT.

(d) The unit promotion data required by REDCAT.

(e) The unit retention data required by REDCAT.

(f) The unit discharge data required by REDCAT.

(g) The unit discipline data required by REDCAT.

(h) Mandatory commander comments on the overall unit climate.

b. By 15 October each year, major reporting commands will submit their Annual Narrative and Statistical Report (ANSR) to the USANATO EO Office.

(1) The ANSR will be submitted in the automated format and consist of a roll-up of previous quarters QNSR in the year.

(2) Commanders will review the ANSR and sign a copy of the report. The report will be filed locally.

c. By the end of 1st quarter each fiscal year, commanders of major reporting commands will be required to conduct an AAP progress report on the recently completed ANSR. This report will include--

(1) Unit command climate status.

(2) Aspects of AAP progress.

(3) Review of key statistical data on personnel actions affecting soldiers (key-leadership or career-enhancing position assignments, awards, promotions, and negative administrative or disciplinary actions).

(4) Goals to correct identified negative imbalances.

SECTION II

AAP CONTENTS AND REQUIREMENTS

7. DEVELOPING AN AAP

a. Goal. USANATO, will develop effective AAPs.

b. Basis for Goal. AR 600-20, DA Pamphlet 600-26, and TC 26-6.

c. Objective. Commanders will develop AAPs to--

(1) Assess, monitor, and respond to discriminatory behavior and actions, strengthen the command climate, and provide insight, through specific actions, into the unit's combat effectiveness.

(2) Evaluate EO progress. The AAP will be revised each year to sustain effectiveness of past actions and develop additional EO goals and strategies.

d. Action.

(1) By the end of 2d quarter each fiscal year, major reporting commanders will develop or update their command AAP. By 1 April each year, commanders will copy-furnish their AAP to the USANATO, EO Office.

(2) The AAP will include the development of achievable EO goals and corresponding implementation strategies to promote a healthy command climate. The AAP must state the desired result. The AAP will include--

(a) An assessment of personnel in key-leadership or career-enhancing positions by race and gender (para 8).

(b) An assessment of positive and adverse personnel actions (awards, promotions, punishments, and demotions) by race and gender (paras 9 thru 11) for major reporting commands and below.

(c) An assessment of the unit's EO and EOL training status and plans to correct identified deficiencies

(paras 12, 13, and 15).

(d) A review of EO complaints to determine identifiable trends and possible corrective actions (para 14).

8. ASSIGNMENT AND POSITION ANALYSIS BY RACE AND GENDER (AVAILABLE POOL)

a. Goal. Ensure fairness (by race and gender) in personnel assignments.

b. Basis of Goal. AR 600-20 and DA Pamphlet 600-26.

c. Objective.

(1) Ensure data on current personnel is available by position, race, and gender.

(2) Identify and evaluate trends and provide recommendations when appropriate.

d. Action. Twice a year, major reporting commanders and personnel officers will--

(1) Conduct an analysis of soldiers by assignment, position, and REDCAT to determine the number of women and minorities in key-leadership or career-enhancing positions. Opportunities to conduct this analysis could be during quarterly training briefs (QTBs), training management reviews, or other available forums.

(2) Determine who is in the available pool for assignment to key-leadership or career-enhancing positions. Qualifications (education and experience) may be used to determine the available pool as long as these same qualifications are used to determine the majority pool.

(3) Determine if the results of (1) above are comparable to the available pool ((2) above). If they are not comparable, commanders will determine the reasons.

(4) Maintain statistical data on minority and female officer and noncommissioned officer (NCO) key-leadership or career-enhancing positions. This data should include branch- and non-branch-qualified numbers.

9. CAREER DEVELOPMENT AND PROMOTIONS

a. Goal. Ensure fairness in career-development, school attendance, and attendance at required developmental courses.

b. Basis for Goal. AR 600-20 and DA Pamphlet 600-

26.

c. Objective.

(1) Ensure all soldiers receive an equal opportunity for career progression and training.

(2) Monitor promotions through the rank of SSG to ensure selection is based on merit, fitness, and ability.

d. Action. Twice a year, major reporting commanders will analyze available data by REDCAT to ensure all soldiers have an equal chance for promotion and training. Opportunities to conduct this review could be during QTBs, training management reviews, or other available forums.

10. AWARDS

a. Goal. Ensure fairness in the awards process.

b. Basis for Goal. DA Pamphlet 600-26, chapter 3.

c. Objective.

(1) Ensure deserving soldiers receive appropriate recognition for contributions and achievements.

(2) Develop a system to analyze statistical data for awards by race and gender.

(3) Identify award imbalances by race and gender and take action to correct imbalances.

d. Action. Twice a year, major reporting commanders; supervisors; personnel warrant officers, S-1 (personnel); and adjutants will--

(1) Maintain and analyze data on the following awards by race and gender:

(a) Meritorious Service Medal/Defense Meritorious Service Medal.

(c) Army Commendation Medal/Joint Service Commendation Medal.

(d) Army Achievement Medal/Joint Service Achievement Medal.

(2) Identify trends, compare population demographics, evaluate results, and establish corrective measures to adjust imbalances in (1) above where deviations cannot be adequately explained. The demographic comparison should also include a comparison

of the number of individuals recommended for awards to those who received awards.

11. DISCIPLINARY ACTIONS

a. Goal. Ensure fairness in the administration of non-judicial punishment and courts-martial.

b. Basis for Goal. DA Pamphlet 600-26.

c. Objective. Analyze by REDCAT Article 15s, punitive discharges, and court-martial actions. Compare data to unit demographic, determine the reasons for imbalances, and develop potential corrective measures.

d. Action. Twice a year, major reporting commanders and staff judge advocates will--

(1) Analyze statistical Uniform Code of Military Justice data by REDCAT in the following areas:

(a) Article 15s by category (summary and formal).

(b) Courts-martial by category (summary, general, and special).

(c) Punitive discharges.

(2) Identify trends, compare population demographics, evaluate results, and establish corrective measures to adjust imbalances in areas ((1) above) where deviations cannot be adequately explained.

12. EO PERSONNEL STAFFING AND USE

a. Goal. Ensure authorized EOA and EOL positions are filled with Defense Equal Opportunity Management Institute or TRADOC trained personnel. This ensures units have the minimal staffing needed to fulfill the requirements of the USANATO, Equal Opportunity Program.

b. Basis for Goal. AR 600-20.

c. Objective.

(1) Acquire Defense Equal Opportunity Management Institute trained personnel for valid EO program personnel authorizations.

(2) Ensure EOLs complete the 7ATC EOL course or an 80-hour TRADOC-certified EOL course.

d. Action.

(1) Full-time EOA will be appointed to the USANATO, SHAPE and USANATO, level of command. Commanders will use assigned EOAs for the purpose for which they are trained.

(2) USANATO, EO Office will report the number of EOAs required, authorized, and assigned on the QNSR and ANSR.

(3) Each battalion, company-level, and detachment-level unit will have a minimum of one primary and one alternate EOL appointed. EOLs must have completed the 7ATC EOL course or an equivalent 80-hour TRADOC-certified EOL course.

(4) Commanders will collect, maintain, and compare the demographic data of EOLs and manage it to reflect unit demographics. Commanders will take steps to correct significant imbalances.

13. UNIT EO CLIMATE ASSESSMENTS

a. Goal. Use DA Command Climate Survey results to promote a climate of equality, fairness, and justice.

b. Basis for Goal. AR 600-20.

c. Objective. Commanders will determine--

(1) The baseline for adjustments to unit initiatives, plans, programs, and human relations training.

(2) How members of the unit perceive equality and fairness in the unit.

d. Action.

(1) Company or detachment commanders will administer the DA Command Climate Survey (CCS) within 90 days of assuming command. This survey should be administered within 30 days after assuming command to allow time to analyze the survey results and develop initiatives to address areas of concern. This survey is optional for battalion commanders.

(2) EOAs are available to assess the results of the DA CCS and provide the assessment to the company/detachment commander. Further assessment (individual or group interviews, and analysis of unit chapter actions, bars, records, and complaints) should be conducted if significant areas of concern are identified.

(3) Commanders will report the date the DA Command Climate Survey was conducted and the date the

follow-up surveys are scheduled during the next QTB.

(4) Commanders will develop initiatives to address areas of concern raised by the survey results.

(5) Results of the DA Command Climate Survey will be retained by the company or detachment commander.

(6) Within 1 year after the initial survey (normally 6 to 8 months), commanders should again assess the unit with the DA Command Climate Survey. Commanders should compare these results with those from the earlier survey, make their assessment, and identify needed adjustments.

14. COMPLAINT-PROCESSING PROCEDURES AND TIMELINES

a. Goal.

(1) Fair and impartial investigations of EO complaints.

(2) Prompt and recurring updates to the complainant until the complaint is resolved.

b. Basis for Goal. AR 600-20.

c. Objective.

(1) Ensure EO investigations are objective, neutral, and conducted fairly and quickly.

(2) Strengthen the chain of command and unit cohesion by meeting timelines in AR 600-20.

(3) Ensure all soldiers have access to an EOA for redress of complaints.

d. Action. Commanders will--

(1) Periodically review unit formal complaint data, identify trends, evaluate results, and establish corrective measures to address problem areas.

(2) Post EO-complaint-reporting procedures and time-lines as prescribed in AR 600-20.

(3) Address informal complaints with the same urgency and sincerity as used when addressing formal complaints. Informal complaints do not need to be in writing.

(4) Periodically review formal complaint-completion timelines using the QNSR and ANSR and

establish corrective procedures to ensure complaints are processed quickly.

(5) Ensure the EOA conducts a complaint follow-up with the complainant and the accused between 30 to 45 days after the initial complaint investigation is finalized.

(6) USANATO commanders who do not have an assigned EOA, or one located within a reasonable distance, will ensure BASOPS/Admin Agent EOAs are available to accept complaints and advise commanders.

15. TRAINING AND EDUCATION

a. Goal. Ensure soldiers, civilian employees, and family members receive meaningful human relations training to promote a healthy command climate.

b. Basis for Goal. AR 600-20 and USANATO, Regulation 350-1.

c. Objective.

(1) Commands will attain 100-percent attendance at EO training.

(2) Senior officers and other specific leaders will receive annual EO training.

(3) Commanders, command sergeants major (CSMs), and first sergeants (1SGs) will receive EO training.

(4) Soldiers will receive human relations training quarterly. Two training sessions will address the prevention of sexual harassment (POSH).

d. Action.

(1) The USANATO, EO Office will annually conduct an executive-level training session on leadership and human relations topics during the USANATO, Commanders Conference.

(2) Commanders at all levels will ensure--

(a) Required human relations training is reported on the QTB or yearly training briefing (YTB). This includes the type and dates of human relations training conducted since the last QTB or YTB and the type and dates of human relations training scheduled for the unit before the next QTB or YTB.

(b) EO and POSH training is conducted twice a year for all soldiers, NCOs, officers, and civilian employees. This training may be incorporated in the unit consideration

of others program.

(c) Company commanders and 1SGs attend the Company Commander and First Sergeant Course.

(d) Commanders, 1SGs, and civilian supervisors are directly involved in EO and POSH training sessions.

16. ETHNIC OBSERVANCES AND CULTURAL AWARENESS

a. Goal.

(1) Enhance understanding of cultural differences and achieve maximum participation of all groups in ethnic observances.

(2) Maintain a record of requests and after-action reports for future reference.

b. Basis for Goal. AR 600-20 and USANATO, Regulation 600-21.

c. Objective.

(1) Program funds, and conduct ethnic observances according to AR 600-20 or as directed by HQDA.

(2) Achieve maximum organizational participation by developing planning committees. Committees will be composed of staff members and representatives of subordinate units.

(3) Achieve maximum attendance at ethnic observance activities by advertising the events and ensuring personnel who want to participate in observance activities are given the opportunity to do so.

d. Action. USANATO commanders, CSMs, EOAs, and EOLs (as appropriate) will--

(1) Sufficiently fund and develop plans for ethnic observances.

(2) Form planning committees and develop timelines and suspenses to monitor progress. Commanders will personally participate in planning committees and take a leadership role in encouraging maximum participation.

(3) Assign project officers (not necessarily the unit EOA or EOL) to coordinate or conduct ethnic-observance events. Project officers should be junior officers or senior NCOs who, with the assistance of the EOA, carry out the

commander's intent.

- (4) Coordinate their efforts.

(a) USANATO commanders will take the lead in establishing planning committees and conducting ethnic-observance events. Community commanders should coordinate with USANATO commanders for participation and assistance of USANATO units.

(b) USANATO commanders have an expressed interest in the success of community events. They will designate representatives to be on planning committees to provide unit input and assistance. Assistance may include contributing funds or providing other resources to ensure the ethnic observance meets the needs of the community and the command.

(c) In areas where a USANATO EOA is not authorized or assigned, the USANATO commander should coordinate for EO support from the BASOPS or Admin Agent-provided EOA to assist the USANATO action officer in conducting the ethnic-observance event.

(d) Units should report information on planned events (dates, times, locations, speakers, admittance costs, and POC) to the USANATO, Equal Opportunity Office 30 days before each observance. This information will be used to announce the events on the USANATO, Equal Opportunity website at <http://w3ace.shape.army.mil/coa/html>.

- (5) Coordinate with public affairs offices to ensure ethnic-observance events are announced through appropriate media channels.

17. EQUAL OPPORTUNITY INFORMATION LINE

a. Goal.

(1) Provide DA personnel an immediate means to address discrimination complaints.

(2) Establish EO information lines to provide information on how to submit EO complaints.

b. Basis for Goal. AR 600-20.

c. Objective.

(1) Provide procedural information on filing EO and sexual harassment complaints or appeals.

(2) Emphasize the importance of EO within the unit.

d. Action. USANATO commanders will--

(1) Establish EO information lines. Coordinate with BASOPS and Admin Agent-provided EO Offices for their support of this requirement, if necessary. Individuals who answer calls on these lines must be proficient in EO-complaint processing and referral procedures and be able to answer basic questions. The use of an answering machine during nonduty hours is acceptable.

(2) Use responses to the EO information line as part of the EO assessment of the command.

(3) Announce the EO information line through appropriate media channels to achieve maximum use.